

GREATER HORN OF AFRICA INITIATIVE

ANNUAL REPORT

1998

**Regional Economic Development Services Office for
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Greater Horn of Africa Initiative Annual Report 1998
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Greater Horn of Africa Initiative

Executive Summary

The Greater Horn of Africa Initiative got off to an official start in fiscal year 1998, the first year under an approved strategic plan. The five-year, \$75 million initiative aims to address the causes of food insecurity and conflict to create a food secure, just, and peaceful region for the 10 countries in the Greater Horn: Burundi, Djibouti, Eritrea, Ethiopia, Kenya, Rwanda, Somalia, Sudan, Tanzania, and Uganda.

Underpinning that goal is a new approach that promotes African ownership, emphasizes strategic coordination, links relief and development, develops a regional perspective, and promotes stability. These five guiding principles signal a change in USAID's approach to assistance, to match the changing development context in the region.

One area where the initiative made great strides during the year was in developing and strengthening regional partnerships, with the goal of enhancing the capacity of regional partners to prevent and mitigate conflict, improve food security, and share information. The biggest need in developing a food secure, just and peaceful region is developing regional capacity to deal with issues as they arise, to address underlying causes, and to find regional solutions.

USAID signed three groundbreaking regional partnership agreements in the areas of democracy-governance and conflict, economic growth, and health. The first two are with the 21-country Common Market for East and Southern Africa (COMESA). They establish two conflict-response funds GHAI countries and members of the Intergovernmental Authority on Development and help strengthen a new regional commercial court of justice.

USAID also made good progress in connecting regional partners through the Internet, both under the Leland Initiative and under the Intergovernmental Authority on Development's (IGAD) regional integrated information system. Djibouti, Eritrea, Ethiopia, Kenya, Rwanda, and Uganda, 36 government ministries in are now sharing information on food security and crisis prevention over the Internet.

REDSO/ESA has taken the lead in developing and chairing the multidonor Project Implementation Committee of the Joint Partners Forum of the Intergovernmental Authority on Development. The committee's aim is coordinate donors' regional and IGAD-specific initiatives, develop common reporting systems, and agree on behavioral norms.

GHAI launched a \$10 million regional grant-making facility for African nongovernmental organizations that work in regional conflict prevention and food security. The Institutional Strengthening and Grantmaking Program will both support innovative projects and strengthen nongovernmental institutions.

To promote the relief-development link, USAID trained more than 125 representatives of African nongovernmental organizations, private sector, government, U.S. private voluntary organizations and USAID Missions in the principles involved. Trainers

were also trained, which permits USAID to be more responsive to requests in the region for training in the principles of linking relief and development.

In the food security arena, REDSO/ESA worked with USAID/Uganda to help develop a regional response to the water hyacinth problem threatening Lake Victoria. The lake's three bordering countries and Rwanda will work in the coming year on a regional management approach. REDSO/ESA is also working with the Intergovernmental Authority on Development on crop production research and extension, including developing high-yielding, drought-resistant crops.

With support from USAID's Famine Early Warning System (FEWS), REDSO/ESA has begun the process of regional climate prediction and consensus forecasts that will pave the way for countries in the Greater Horn to develop food security response plans. The Famine Early Warning System regional office in Nairobi worked with the Nairobi-based Drought Monitoring Center to strengthen its capacity to collect, analyze, and disseminate data that provide early warning of food insecurity. The regional center, with help from FEWS, held the region's first two climate outlook fora, drawing hundreds of African and international scientists and food security experts.

REDSO/ESA helped the Association for Strengthening Agricultural Research in East and Central Africa (ASARECA) develop programs that will allow it to mobilize resources and implement a regional strategy. The Mission also provided funds to the regional agricultural research networks that implement the association's research strategy. It gave grants to seven regional networks to develop programs for 1998-2003. The networks develop new and improved seed varieties, and maintain seed banks, which have already improved regional food security. And grants to the East and Central Africa Program for Agricultural Policy and Analysis will fund studies of recently released technologies to improve agricultural performance.

USAID funds the Recombinant Rinderpest Vaccine project to combat the spread of rinderpest, a contagious virus that infects cattle. The project trains local scientists to make and use an advanced, inexpensive diagnostic kit and vaccine.

There are encouraging signs of a regional outlook developing. The East African Cooperation (EAC) sponsored a regional road network conference in May 1998, for example, that was opened by the presidents of Kenya, Tanzania, and Uganda. The purpose was to look at building or repairing key north-south and east-west corridors.

In confirmation of the need to plan for conflict and climate challenges, the region faced a significant escalation of conflict, and damage from El Niño rains that continued through June 1998, followed by drought in many areas. Conflicts in Burundi, the Democratic Republic of Congo, Eritrea-Ethiopia, Somalia, southern Sudan, northern Rwanda, and Uganda taxed the ability of USAID and its regional partners, especially the Intergovernmental Authority on Development, to design or run programs that promote regional integration and harmony.

REDSO/ESA backs IGAD's peace and transition initiatives, and helps finance its Peace Fund, which reinvigorated the Sudan peace process in 1998. In collaboration with the

Common Market for East and Southern Africa and USAID bilateral Missions in the region, REDSO/ESA established two innovative conflict funds that will allow for quick response to existing or emerging conflicts, and for pilot activities to address longer-standing conflicts. In Sudan, REDSO/ESA gave Catholic Relief Services \$3 million for an umbrella grant program to build capacity of grassroots civil society organizations and increase their participation in governance.

The region has a long way to go before it achieves food security and the ability to deal with crisis and conflict. The initial steps taken, however, point the way toward African development of regional solutions to these long-term problems.

Greater Horn of Africa Initiative

1998 Annual Report

Introduction

One year into an approved strategic plan for the Greater Horn of Africa Initiative, USAID has covered only a short distance with its African partners toward its goal of a food secure, just, and peaceful region, but it has, nevertheless, made significant progress. Like forging a path through the wilderness, the initial effort is not remarkable so much for its forward progress as for its pioneering a new direction. In its commitment to partnerships with African organizations, USAID is looking to get to the root of food insecurity and conflict and find lasting solutions to the underlying problems that plague this region.

Charting this new direction entails a change in thinking and in action. This is a tall order. That there is evidence of such change is, perhaps, the most significant accomplishment one could expect in a year. Country after country offers evidence that USAID is broadening its perspective and complementing its bilateral efforts by thinking regionally. It is collaborating more, coordinating strategies with those of governments, other donors, and concerned citizens. It is looking for ways to link relief efforts and development. It is taking the time and effort to strengthen African capacity to address the problems. And it is searching for ways to promote stability.

USAID's Africa Bureau is recognizing that it must plan for drought, floods, and conflict, working these realities, and the required flexibility to cope with them, into its programs. Within USAID bureaus and offices there is a shift in programming approaches, with greater weight given to African ownership. The Agency is making broader use of integrated strategic planning, building consensus in the planning stages with the State Department and with USAID's bureaus and offices.

The path is not yet clear, nor is success guaranteed, but USAID is learning as it moves forward. And the lessons learned point the way ahead. The border conflict between Ethiopia and Eritrea this year surprised everyone, an indication of the difficulties in developing a conflict early warning and response system, which could help prevent conflict. Even the idea of planning for conflict is a tough sell, as USAID/Eritrea found. The Mission worked on incorporating the concept of "crisis modifiers" in its strategic plan to allow for shifts in funding if crisis changed needs. However, the government wouldn't accept discussion of anything other than natural disaster because of the political sensitivity of potential conflict. And USAID/Eritrea felt that although USAID's Office of Foreign Disaster Assistance (OFDA) supported the idea, other stakeholders did not give it priority. The Mission plans to try again once the current conflict is resolved to reach consensus among all stakeholders and then develop the concept within its strategic plan.

Although the outlook may appear bleak on several fronts, elsewhere there are signs of promise. There is evidence of a new interest in expanded partnership, from President Bill

Clinton's visit to the continent to Secretary of Commerce William Daley's trips to promote U.S.-African business links, trade, and regionalism.

Despite the Eritrea-Ethiopia border conflict, ministers from both countries attended the Intergovernmental Authority on Development's annual meeting in Djibouti, where the conflict was on the agenda. Agricultural researchers from Burundi, the Democratic Republic of Congo, Ethiopia, Sudan, Uganda, and Rwanda continue working together in regional commodity networks. Differences between countries have hampered but not severed technical cooperation and information links.

Regionalism has taken root in Africa, and the GHAI will continue to nurture those roots. Staying the course with African regional partners will pay high dividends by enhancing stability and democracy, lessening the need for humanitarian assistance, and creating more economic opportunities for U.S. businesses.

This annual report, the first for the Greater Horn of Africa Initiative, was prepared by REDSO/ESA, which is charged with managing the initiative. The report draws, however, on the Results Review and Resource Request (R4) documents of all Missions in the region, as well as submissions from USAID/Washington bureaus and offices. Performance monitoring plans for the initiative are not yet in place and may take some time to develop, as the strategic objectives are intended to capture results achieved across the region from all USAID sources. Developing those plans will require considerable effort. The GHAI strategic plan covers five years, from fiscal year 1998 through fiscal year 2002, with annual funding of about \$12 million.

While USAID has worked to nurture African organizations and to be responsive to African priorities, it grapples with measuring its efforts. Applying the GHAI principles appears to be a move in the right direction, but quantifying progress remains a challenge. Ultimately, USAID will have to develop a plan to monitor and evaluate activities against the GHAI's weighty objectives. REDSO/ESA's Democracy/Governance and Conflict team will begin to tackle that project for the conflict prevention, mitigation, and response sector in 1999. Until there is a plan for the entire initiative, however, reporting will remain anecdotal. However, the anecdotes submitted and detailed in this report do paint a picture—of human suffering, of thorny problems, of setbacks and frustrations, and of the hope for food security and peace.

Donald R. Mackenzie
Mission Director
U SAID/REDSO/ESA

Acronyms

AFR/SD	Africa Bureau Office of Sustainable Development (USAID)
ASARECA	Association for Strengthening Agricultural Research in East and Central Africa
COMESA	Common Market for East and Southern Africa
EAC	East African Cooperation
FEWS	Famine Early Warning System
GHAI	Greater Horn of Africa Initiative
IGAD	Intergovernmental Authority on Development
K-REP	Kenya Rural Enterprise Program
NGO	nongovernmental organization
OFDA	Office of Foreign Disaster Assistance (USAID)
PVO	private voluntary organization
REDSO/ESA	Regional Economic Development Services Office/East and Southern Africa (USAID)
USAID	United States Agency for International Development

Chapter 1. Charting a New Course

The Greater Horn of Africa Initiative (GHAI) was launched in 1994 to address post-Cold War realities in the region's 10 countries: Burundi, Djibouti, Eritrea, Ethiopia, Kenya, Rwanda, Somalia, Sudan, Tanzania, and Uganda.¹ A concept paper drafted that year, looking primarily at food security, instigated comprehensive consultations in the region. After interviews with more than 1,000 people representing African governments (including heads of state), indigenous nongovernmental organizations, international private voluntary organizations, other donors, and U.S. Embassies and USAID Missions, conflict prevention was added to the initiative's objectives.

Strategic plan adopted. Early in fiscal year 1998, USAID Administrator J. Brian Atwood approved a strategic plan, which sets out the goal and objectives for the Greater Horn of Africa Initiative through 2002. Thanks in part to the broad consultation underlying the plan, its goal of a "food secure, just, and peaceful region" reflects the priorities of the region as well as the hopes of USAID's international partners. Indigenous local and regional groups and governments are grappling with the challenges of conflict and natural disasters. Private voluntary organizations and other donors have also been exploring ways to adapt to a new era, characterized by—more than any other single thing—change itself.

The plan encompasses two strategic objectives: "strengthened African capacity to enhance regional food security" and "strengthened African capacity to prevent, mitigate, and respond to conflict," and one special objective: "increased access to regional analytical information." Achieving these objectives only be possible with the help of USAID's bilateral and regional programs (including those funded by the Global Bureau, Bureau for Humanitarian Response, and Office of Sustainable Development in the Africa Bureau). The GHAI funds of \$12 million a year are not enough by themselves, but they can be a catalyst, bringing programs together and leveraging resources.

Funding criteria. The GHAI seeks to support activities that are catalytic and flexible. Therefore, it makes funding decisions using the following criteria:

- demonstrate relationship to at least one of the initiative's objectives
- promote or demonstrate the use of GHAI principles
- use innovative approaches
- be catalytic, facilitative, and value added
- be complete within 24 months
- cost a maximum of \$500,000

¹ USAID/Madagascar was granted partnership status at the GHAI's Field Steering Committee inaugural meeting, May 1998. Madagascar is ineligible for GHAI funding, but may attend meetings and have more systematic access to information.

Countries of the Greater Horn



To implement the GHAI, the Agency must marry risk with opportunity. USAID and its partners must engage in a new kind of dialogue to apply one of the initiative's guiding principles: African ownership. In an era and region of uneven political maturity, such a dialogue means USAID risks entering into a politically charged environment. Similarly, with the expansion of USAID's involvement in conflict prevention, mitigation, and response, the Agency is venturing into uncharted territory.

If the risks are great, so are the opportunities. USAID can build on the shared goals of African partners with the many international aid organizations that have identified similar goals and reached similar conclusions in their response to the changing environment. The Agency also has an opportunity to make the GHAI principles an integral part of the Agency's operations, as well as to reinforce its partners' ability to do the same.

In the early years of the initiative, before strategic plan approval, USAID put its energy into analysis and consultation with African partners, to lay the groundwork for developing new approaches to address the region's needs and realities. Beginning in late 1997, with the approval of the strategic plan and the delegation of authority to REDSO/ESA for GHAI, the Agency began the full implementation of the GHAI.

A new framework for operations. The GHAI operational framework consists of five principles that are to guide USAID's efforts to be innovative and flexible in the face of ongoing change in the region. Together, the principles signal a change in thinking about and responding to the changing development context in the region.

GHAI Principles

- African ownership**
- Strategic coordination**
- Linking relief and development**
- Regional perspective**
- Promoting stability**

Less than a decade ago, donors made a sharp distinction between relief and development, took a national or bilateral approach, and provided relief without seeking to address the causes behind the need for relief. But many factors, including population growth, land tenure issues, centralized governments and political systems, inappropriate policies, environmental challenges, the availability of arms, and uneven terms of trade have transformed the region, triggering crisis and change. These factors are linked and regional in nature, making development a

complex proposition. In the humanitarian area, there are relatively fewer natural disasters, but more complex political emergencies. The failed state of Somalia has led to seemingly interminable instability; the genocide in Rwanda spawned a regionwide military convulsion.

But the tumult has given birth to a new determination, at government and nongovernment levels, to take responsibility for problems and begin to fashion solutions. This desire for what the initiative terms "African ownership" stems in part from a move by Africans to reduce the region's dependency on the international community either for economic survival or political growth.

Other changes are positive as well. Conflict and the recognition of the need for economic cooperation have fostered a commitment to regionalism. The Intergovernmental Authority on Development (IGAD) and the East African Cooperation (EAC) have both been revitalized in recent years. (Seven of the 10 Greater Horn countries comprise IGAD's members: Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan, and Uganda). Although the pace varies, most national economies are being liberalized, many countries are working to foster regional trade and investment, and many are making progress toward democracy and good governance.

Looking ahead. The pervasive change in the Greater Horn has prompted USAID's partners in development to rethink their assistance as well, evaluating their roles, and making similar changes in approach. There is a new opportunity for strategic coordination in this environment, where consensus-building and collaboration can amplify the impact of each group's development work by dividing labor based on comparative advantage and interest in the region. For example, to improve collaboration in the field, USAID's Office of Foreign Disaster Assistance (OFDA) opened a regional office for Africa in Nairobi in 1999.

The Agency's two most fundamental accomplishments under the GHAI thus far are its acceptance of African ownership as a guiding principle and its acceptance of conflict prevention, mitigation, and response as a main sector of involvement.

Although USAID is still learning from its African colleagues about the meaning of genuine partnership and how best to respond to African priorities and leadership, African ownership is now a bedrock of USAID activities, a change that came about, in large part, because of the influence of GHAI.

Many circumstances and experiences placed conflict front-and-center for USAID in the past several years. Making conflict prevention, mitigation, and response one of the GHAI's primary objectives, however, has helped make the sector as mainstream in the region as agriculture or health. Since 1994, USAID Missions throughout the region have come to realize that conflict—intrastate or cross-border—affects their ability to successfully implement development programs. Unfortunately, conflict has become the norm, rather than the exception in the region. This is a reality now reflected in USAID as a whole. For example, in 1998, the Africa Bureau recruited a special adviser on conflict to strengthen its conflict prevention, mitigation, and response policies and practices. In coming years, all USAID country strategies will have to include conflict analysis and discuss how conflict may affect attainment of development objectives.

Challenges and frustrations. Coordinating programs and working in partnership with African institutions takes USAID more time than if it forged ahead alone. Defining common objectives and working collaboratively is a slow, deliberate process. In the long run, however, the pay off—increased capacity of African organizations to solve the region's problems—should be well worth the time spent.

Strengthening capacity is often USAID's first step in partnerships with African organizations, before work on conflict prevention or food security can begin. However, USAID's results reporting requirements often make it difficult to craft the proper balance between strengthening capacity in indigenous regional institutions and showing results in the short- to medium-term. If USAID is to promote the development priorities of its African partners, the Agency often cannot predetermine indicators, which makes it difficult to meet its own reporting deadlines. In addition, preferences in procuring U.S. goods and services are obstacles to developing African ownership and capacity. Finally, lack of coordination within USAID and across U.S. government agencies has often delayed funding decisions and the provision of necessary technical assistance to African organizations.

In addition to the challenges inherent in partnership, USAID is relatively inexperienced at conflict prevention, mitigation, and response. The Agency needs to do analyses, test pilot interventions, and then share lessons learned before it can make significant progress in this arena.

Practicing the GHAI principles—promoting African ownership, coordinating programs and activities, linking relief and development, applying a regional perspective, and promoting stability—is not a one-shot endeavor, nor is it an easy task. One example from 1998 provides a glimpse of the challenges inherent in this process.

USAID/Eritrea tried to plan for crisis and link relief and development in preparing its Investment Partnership Plan, which involved broad consultation and strategic coordination with the government. It proposed the concept of a "crisis modifier," which would allow for shifts in development programming if a crisis changed the needs of the country. However, because the idea of a political crisis was politically sensitive, the government would not allow for discussion of any type of crisis other than a natural disaster. Furthermore, in the Mission's view, among USAID stakeholders, only the Office of Foreign Disaster Assistance supported the approach. Unable to get all stakeholders to buy into the concept before the border conflict flared up again, the Mission is now unable to use Primary Health Care development funds to help deportees and the displaced. But the Mission plans to try again after this conflict is resolved to explain crisis modification and build consensus among all USAID entities before adopting a strategy.

An important component of the GHAI has been its support to the Intergovernmental Authority on Development, both for institutional strengthening and project development. African ownership has been the cornerstone of the USAID-IGAD partnership. IGAD's leadership and USAID's response have been uneven. There are a number of reasons for this—IGAD's difficulty in recruiting staff to Djibouti, as well as USAID staff losses and workload constraints, competing priorities, and cumbersome USAID procedures. REDSO/ESA, the regional east and southern Africa Mission, is the primary locus of support to IGAD. It is addressing these issues, and strengthening accountability for its commitments to the authority. This relationship demonstrates, however, the difficulties in changing ways of doing business and applying the GHAI principles.

Because of the region's instability, staff often operate under travel restrictions or legal prohibitions that hamper USAID's ability to achieve regional results. At various times since the GHAI strategic plan was approved, travel has been prohibited or restricted in Burundi, Eritrea, Ethiopia, Somalia, and Sudan. In addition, U.S. law prohibits use of development assistance funds in Burundi, Somalia, and Sudan. To use GHAI funds in any of those countries requires a waiver, which can be time-consuming and has no guarantee of success.

Evidence of a new way of working. Despite the challenges, there is evidence of change, from Washington bureaus to the field. The GHAI is developing ongoing partnerships with regional organizations. The Missions are developing integrated strategic plans, pulling in all stakeholders for consultation, building consensus, and coordinating strategies before shaping plans that incorporate input from U.S. government agencies, host country governments, and others. The integrated strategic plan has been a useful tool for the initiative because it lays the groundwork for program convergence, at the same time facilitating application of the initiative's principles. African ownership is now a primary consideration. And, increasingly, USAID is learning to think and act with a broadened regional perspective.

By 1998, USAID/Rwanda, USAID/Somalia, and REDSO/ESA's Sudan Field Office had each prepared an integrated strategic plan. Each Mission in the region has been instructed to prepare such a plan when its current country strategies come to an end. When

the GHAI strategy ends in 2002, every bilateral Mission in the region should have an integrated strategic plan in place. USAID/Ethiopia began preparing its integrated plan in 1999, although the Ethiopia-Eritrea border conflict and the evacuation of the Mission there may delay its completion.

The revived Intergovernmental Authority on Development has become an important player in the region, and its goals mesh well with those of the GHAI. The GHAI now has several priority areas of ongoing partnership with IGAD: institutional and capacity strengthening; development of a regional integrated information system (IGAD project 5.1); crop production research and extension, including development of high-yielding, drought resistant crops (IGAD project 6.1); transboundary livestock disease control (IGAD project 6.2); water resources management (IGAD project 8.1); community-based land husbandry (IGAD project 8.2); capacity building in conflict prevention, mitigation and resolution (IGAD Project 9.1); alleviation and mitigation of humanitarian crises (Project 10.1) and IGAD's Peace Fund.

This past year, REDSO/ESA formalized its partnership with the Common Market for East and Southern Africa (COMESA), signing two groundbreaking agreements in conflict management and economic growth, which directly support the GHAI and IGAD member states. It is also funding several COMESA activities, including modernizing its commercial Court of Justice to improve its capacity for mediation and arbitration among its 21 members.

To strengthen regional nongovernmental organizations, REDSO/ESA established an institutional strengthening and grant-making program in 1998 exclusively for African organizations carrying out innovative regional food security and conflict management activities.

A new way of working also means adapting USAID policies and procedures to reflect the GHAI principles and permit USAID to be more responsive to African partners. Consequently, GHAI staff in Washington and REDSO/ESA have devoted time and energy to seeking feedback from African partners and bilateral Missions on the roadblocks they are encountering. USAID is finding ways to be innovative within the boundaries of law or regulation. Through information sharing and consensus building, a number of changes to internal USAID practices have been made.

By invoking legal authority Congress granted USAID, GHAI is now able to promote food security, conflict management, and information analysis and dissemination activities in Somalia, despite legal prohibitions against using development assistance there. Because of the potential for Somalia to be a stabilizing or destabilizing force in the region, excluding it from GHAI activities hampers achievement of the initiative's objectives.

All Missions in the Greater Horn are now allowed to use limited competitive-award procedures for all grants for conflict prevention, mitigation, and response activities, whether the funds come from the GHAI or a bilateral Mission. This can greatly reduce the time it takes to advertise, compete, and award a grant, enhancing Missions' ability to respond when urgent needs arise.

Recently, the GHAI received approval to use fixed-obligation grants in some situations. This will enhance USAID's partnerships with African nongovernmental organizations. By linking grant payments to the achievement of performance benchmarks, USAID can enter into agreements with organizations that may not be able to pass the standard pre-award audit. This expands the pool of NGOs USAID can work with, presents USAID with opportunities to strengthen the financial and management capacity of nascent organizations, and permits USAID to achieve GHAI objectives through organizations working in dangerous or remote areas.

Principles

GHAI's framework of principles are the wedge that will begin a process of program convergence, bringing USAID's bilateral and regional programs, along with centrally funded programs, into a synergistic relationship in support of the GHAI's goals and strategic objectives.

The aim of USAID programs in the Greater Horn is that each program would embody all five GHAI operating principles—each would seek to enhance African capacity and African ownership; each would be coordinated with other U.S. government agencies, host governments, and other donors; each would link relief and development; each would work with a regional perspective; and each would take into account the vulnerability of Greater Horn countries by planning for crisis and taking advantage of opportunities for change in the midst of crisis. A discussion of each of the principles and examples of how they are being applied follows.

African ownership: This principle ensures that GHAI efforts have a constituency in the region and build on and respond to the growing evidence of African leadership in the Greater Horn. The initiative's efforts should be rooted in local priorities and realities and its activities should be designed on the basis of widespread consultation. Further, the principle suggests that opportunities to build local, national, and regional capacity be taken advantage of wherever possible.

In response to this principle, USAID/Eritrea no longer creates a USAID development strategy; instead, the Mission roots its Investment Partnership Plan in the government's priorities.

Strategic coordination: This principle entails not only the more effective coordination of U.S. government assets and actions, but also between the United States and other international and local partners. It aims to ensure that GHAI activities are undertaken within the context of a framework or set of agreed-upon parameters, that comparative advantage is applied, and that duplication of effort and contradictory actions are minimized.

REDSO/ESA has taken the lead role in developing the multidonor Project Implementation Committee of the Joint Partners Forum of the Intergovernmental Authority on Development (IGAD), providing coordination for 12 countries to work with IGAD on its regional development agenda. USAID chairs the committee, which aims to

overcome donor obstacles in financing regional initiatives, develop common reporting systems, and agree on norms of behavior for donors working with IGAD.

Linking relief and development: This principle entails using humanitarian assistance to reinforce longer-term development goals, while deploying development assistance in such a manner as to prevent or reduce potential crises and the attendant need for humanitarian assistance. It also aims to ensure that transitions are better understood and more effectively assisted.

REDSO/ESA and the GHAI/Washington Transitions team arranged for the training of more than 125 representatives of African nongovernmental organizations, U.S. private voluntary organizations, private sector, government, and USAID Missions in the principles of linking relief and development. Participants learned to use two analytical frameworks to identify programming options that better link relief and development interventions. Nine people were trained as trainers to respond to the training needs in the region. These nine have conducted workshops for the Somalia Aid Coordinating Body, Uganda Red Cross, CARE in Kenya, Somalia, and southern Sudan, and World Vision/Sudan.

USAID/Rwanda has made linking relief and development a cross-cutting theme for all three of its strategic objectives. Working in a country that is still recovering from a devastating civil war, the Mission is working simultaneously on addressing immediate needs of internally displaced and recently resettled people and building capacity and developing good policies. With 750,000 long-term refugees returning, change is the order of the day in Rwanda. The Mission is working to take advantage of change to promote policy dialogue. At the same time, it is using a variety of funding sources to improve household food security, health and social services, and justice and the rule of law.

The Rwanda Mission is working to build national and community-level capacity to promote stability and link relief and development. It is funding farmer associations, health workers who concentrate on changing people's health habits, and social development committee members. The Mission's Women in Transitions project provides agricultural and livestock-raising assistance to associations of women who are survivors of genocide or whose husbands are in prison on suspicion of genocide. In 1999, the Mission plans to work with AFRICARE to expand local government-strengthening activities with newly elected officials at the cell and sector level and will expand its work in the northwest.

Regional perspective: This principle involves analyzing and responding to events within the context of a regional perspective, and ensuring that GHAI activities achieve optimal regional impact where possible. Further, it aims to promote joint activities—in two or more Greater Horn countries—where possible.

REDSO/ESA has helped strengthen capacity of several regional organizations with important roles in achieving the GHAI's objectives of food security and conflict prevention, mitigation, and response. The All-Africa Businesswomen's Association, the Common Market for East and Southern Africa, and the East and Southern African Business Organization are all leaders in the push for regional integration and regional trade and

investment—critical components for strengthening African capacity to enhance regional food security.

Promoting stability: The aim is to promote advance planning and preparedness, along with flexible programming to respond to change. All program decisions should be made with the awareness that every country in the Greater Horn is susceptible to significant economic and political change. Programs should be designed with an eye to taking advantage of opportunities to promote positive change during crises.

The purpose of the Somalia integrated strategic plan is to promote stability in the country. Activities there often target areas isolated by conflict, where needs are localized. Consequently, food security work emphasizes keeping people from being displaced and reducing the flow of refugees into neighboring countries.

Applying the Principles. The ultimate aim of all GHAI programs is that each embody all five operating principles. This is challenging, because fully applying just one principle requires a level of development sophistication and commitment to partnership that is unusual. However, two activities now in place embody several GHAI principles: the Famine Early Warning System (FEWS) assistance to Nairobi's regional Drought Monitoring Center, and a regional approach to managing water hyacinth in Lake Victoria.

Nairobi Regional Drought Monitoring Center.

African ownership; linking relief and development; strategic coordination; regional perspective; promoting stability

The FEWS regional office in Nairobi, which receives funding from USAID's Africa Bureau, has worked closely with the Nairobi-based regional Drought Monitoring Center to strengthen its capacity to collect, analyze, and disseminate data that provide early warning of food insecurity. The center, set up by the United Nations Development Program, is run by World Meteorological Organization. With GHAI funding, FEWS and the center worked together to run the first climate outlook forum in the region in Nairobi in February 1998. Scientists at that meeting decided it was important to hold such a forum every three months. A second was held in Mombasa in September. More than 100 African climate scientists and food security experts from all 10 Greater Horn countries attended, along with prominent international scientists and disaster planning experts.

The climate outlook forum has now developed a life of its own. A third forum was held in Kampala, Uganda in February 1999; and a fourth one held in September in Diani, Kenya. At each, scientists make a forecast for the next three months and users discuss its implications. The Kampala forum included a one-month training program for climatologists, to teach some of the latest scientific knowledge on forecasting. Only the first forum received GHAI funding, illustrating how the GHAI can be a catalyst to leverage other resources.

FEWS has helped develop local capacity to produce and use climate forecasts, allowing governments and donors to plan for and better address famine. The Drought Monitoring Center accurately predicted the excessive El Niño rains of 1997-98 and the

drought that hit many areas in late 1998. However, the information was not put to use. Governments, donors, nongovernmental organizations, and farmers themselves could have taken steps, for example, clearing drains, changing planting times, and stocking medications for people and animals.

GHAI and the Office of Foreign Disaster Assistance will provide funding to the center in 1999 to increase its data processing and forecasting capacity and to promote links with user groups. This involves educating users so they can understand forecasting, probability, and uncertainty, and learn how to better interpret forecasts.

Lake Victoria Water Hyacinth Project

African ownership; strategic coordination; regional perspective; promoting stability

Lake Victoria, the second largest freshwater lake in the world, is infested with 5,500-15,000 hectares of the highly mobile water hyacinth weed, which threatens food security for small-scale fisherfolk in east Africa. The infestation has, at best, leveled off, but the level is unacceptably high ecologically, economically, and socially.

The GHAI provided a \$1 million, two-year technical assistance grant that ended in December 1997 for the government of Uganda to produce an environmental impact assessment of water hyacinth control programs. The grant paid for field trials, a literature search and interviews with experts.

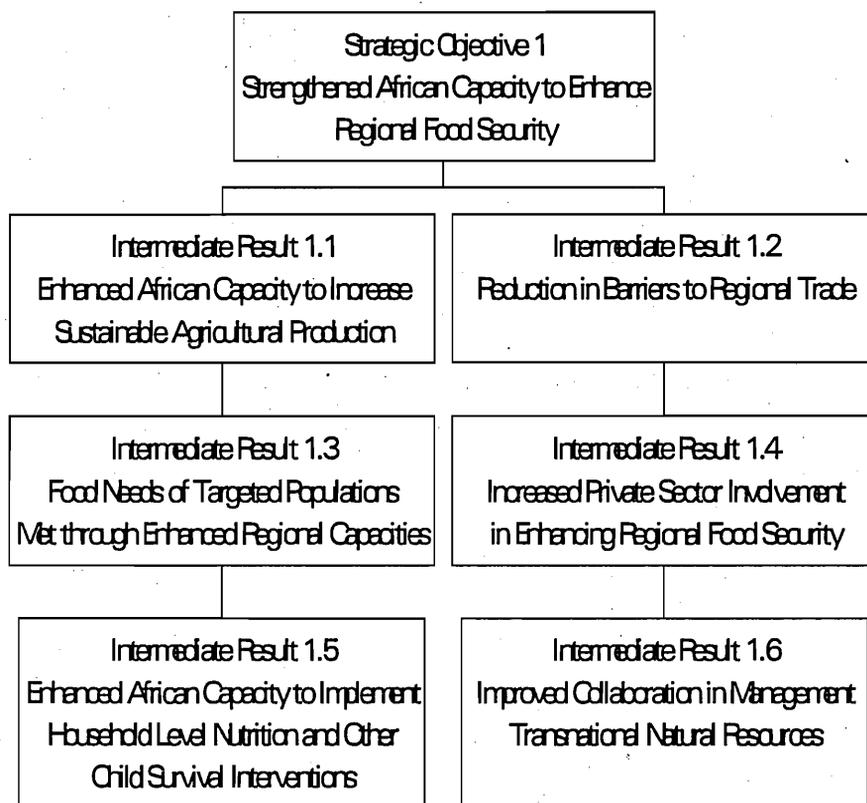
Lack of regional consensus about the proper balance of mechanical, biological, and chemical control methods has hampered efforts to control the weed, which moves with the winds. Uganda has continued to run mechanical harvesters to keep strategic areas weed free. It has also organized community mobilization efforts, including providing hand tools to clear away the water hyacinth manually, and introduced weevil populations to control the weed. Unfortunately, none of these efforts has been part of a broader regional effort and thus have had little impact.

Now REDSO/ESA, USAID/Uganda, the U.S. Embassy in Nairobi, the government of Uganda's Water Hyacinth Unit, the Kenya Agricultural Research Institute, East African Cooperation, and other partners are developing consensus on an integrated regional management plan. Prompted by U.S. President Bill Clinton's visit to the region, the GHAI is providing another \$1 million in technical assistance for policymaking and development of a regional management plan. The three countries bordering the lake (Kenya, Tanzania, and Uganda) and Rwanda, whose Kagera River flows into Lake Victoria and is the source of the water hyacinth, will be involved.

In 1999, an additional \$750,000 of USAID money will go toward developing a monitoring and evaluation system to be implemented by the U.S. Geological Survey that will monitor the extent of the lake covered by the weed, movement patterns of the water hyacinth, and the effectiveness of control efforts.

Chapter 2. Promoting food security

Strategic Objective 1: Strengthened African Capacity to Enhance Regional Food Security



Millions of people in the Greater Horn are food insecure. Small farmers produce the bulk of the region's food, primarily through subsistence production of crops and livestock. More than 80 percent of the population depends on agriculture to survive. The agricultural system is beset by problems, including adverse economic policies; periodic drought and other natural disasters; and poor infrastructure for transportation, marketing, and communications. Civil strife and the presence of millions of refugees, internally displaced persons, or recent returnees, exacerbate problems of food security.

Definition. Food security is not food aid. In fact, while food aid has been critical in numerous crises in the region, it has also, at times, contributed to food insecurity by creating dependency and ignoring the causes of the crisis. A common definition of food security incorporates three elements:

1. *Availability* of enough food of appropriate quality

2. Household and individual *access* to adequate resources to get a nutritious diet
3. *Utilization* of food through adequate diet, water, sanitation, and health care

In the early 1990s, almost half the population in the Greater Horn region was estimated to be chronically food insecure, with a significant proportion reliant on food aid. Droughts, coupled with civil strife and conflict have only worsened the situation. Long-term projections show that even if current favorable agricultural production trends continue in some countries, the number of food-insecure people will double by 2010. High levels of poverty and low levels of productivity are the main causes. The region has the natural and human resource capacity to feed itself, but to achieve food security, it will be necessary not only to increase production, but also to increase people's income so they can buy food and improve their health. The aim of this strategic objective is to help make that happen.

I.R. 1.1: Enhanced African Capacity to Increase Sustainable Agriculture Production.

Activities in this area support the flow of technologies and inputs across borders by developing regional policies and approaches to the development and transfer of technologies that are demand-driven.

The Association for Strengthening Agricultural Research in East and Central Africa. USAID's Africa Bureau Office of Sustainable Development (AFR/SD) and the GHAI have worked to build African ownership of agricultural research and development programs through funding for the Association for Strengthening Agricultural Research in East and Central Africa. The association serves as a regional agricultural research oversight body representing 10 countries in east and central Africa. USAID also provided technical and planning assistance to the association's secretariat. GHAI has helped the association do strategic planning and implement its strategy to "enable agricultural research in the east and central Africa region to play a leading role in promoting market-oriented agriculture." A REDSO/ESA grant provided computer equipment and accounting software to improve its financial management system, as well as to develop strategy indicators and help ASARECA develop the capacity to monitor its results and administer subgrants.

Building on the strategy developed and adopted by east African stakeholders in late 1997, ASARECA revised its constitution in 1998 and formed a three-person executive committee from three countries—steps that will strengthen regional ownership and promote stability and continuity in leadership. The new strategy places a priority on demand-driven research in developing technologies that can be readily adopted by small farmers and will increase sustainable and equitable economic growth.

Regional commodity networks. REDSO/ESA and AFR/SD aid seven regional commodity research networks. The networks develop new and improved seed varieties, maintain seed banks, and provide access to seeds stored in member countries. The networks include bananas, cassava, dry beans, potatoes and sweet potatoes, and address post-harvest processing, technology transfer, seed policies, and policy analysis.

GHAI is providing a \$478,000 grant implemented by the International Institute of Tropical Agriculture to transform cassava from a poor-man's crop to a commercial commodity for the East Africa Root Crop Network. Members of the network are: Burundi, Democratic Republic of Congo, Kenya, Madagascar, Rwanda, and Uganda. Under the grant, mosaic-resistance cassava varieties have been developed and extended.

Bilateral Missions promote sustainable agricultural production. USAID bilateral Missions in Greater Horn countries also worked to promote food security. For example, USAID/Uganda awarded three grants totaling \$1.1 million of GHAI funds to work with farmers in their Northern Uganda Food Security activity. The grants promote increased productivity with new seed varieties, crop strains, and farming technologies; improved marketing of local produce; and development of community programs to improve food security in local economies.

In this program, grants went to 854 farmers who conducted trials of improved bean varieties and mosaic-resistant cassava on their farms. Seven technology demonstrations were held for 985 farmers; seed banks were introduced in camps for internally displaced persons; and bean and sunflower seeds were distributed to farmers who agreed to repay seeds after their harvest. (The seeds are redistributed for the next planting season.) These activities benefited 60,000 people.

USAID/Rwanda held a three-day stakeholder meeting with the Rwandan Institute of Agricultural Research that drew more than 45 participants from government, donors, international and regional agricultural centers, and Rwandan farmer associations to define a complete action plan in agriculture and food security, including technology development and transfer, and marketing.

USAID/Kenya is providing financial assistance to a consortium that provides business development and management services in dairy, developing a private breeding, insemination, and nutrition business. A model for other countries, the project has received visitors and trained people from Malawi, Tanzania, and Uganda in selling artificial insemination equipment and germ plasm. This African-run, African-led agribusiness project uses American equipment and technology, but trainers and trainees are African. It reflects GHAI's commitment to institutional strengthening and incorporates the GHAI principles of African ownership and now a regional perspective to increase food security by helping small farmers be more successful.

IR 1.2: Reduction in Barriers to Regional Trade

A new approach to regional food security, reducing barriers to regional trade can help Greater Horn countries move toward economic specialization, allowing them to meet their food needs through trade rather than self-sufficiency. Analyses show there is much more informal cross-border trade than formal trade in the Greater Horn of Africa, and that informal trade has been an important element in meeting food needs during times of conflict as well as times of peace.

Some governments, however, are reluctant to specialize for fear the private sector will not reliably meet food needs. They set up parastatals and adopt inward-looking policies to create self-sufficiency, even if it doesn't make sense economically. Kenya, for instance, tries to be self-sufficient in maize, even though neighboring Uganda has the comparative advantage in this commodity and could supply it more inexpensively.

Governments such as Eritrea, however, recognize that they must diversify their economic base and build up trade to complement agricultural production. Finding ways to reduce trade barriers and harmonize trade policies throughout the region will be a big step toward improving food security. Reducing transportation costs, for instance, will not only boost exports but will also reduce food costs (both commercial and aid-provided). GHAI-sponsored analyses suggest that making reforms unrelated to infrastructure could cut transportation costs significantly.

A regional agenda for trade. The GHAI funds a regional trade analytical agenda that was developed after eight months of consultation with private and public sector representatives. The project is conducting analysis and policy dialogue on increasing cross-border trade, and reducing transportation costs. The intent is to address major constraints to trade, investment, economic growth, and food security in the region. The process involves helping people identify problems, do analysis, identify solutions, and implement and lobby for reforms. Already, analyses are complete on:

- economic reform and structural adjustment programs in east and southern Africa
- costs of transportation in the Greater Horn
- production costs in east Africa
- cross-border trade monitoring in Kenya, Malawi, Mozambique, Tanzania, and Uganda
- establishment of an electronic communications network of African analysts and policy makers

Implementing the recommendations of these analyses will cut transportation costs and lower trade barriers, leading to increased food security and economic growth. The analyses will inform policy makers and will improve USAID's dialogue with host governments and incorporate regional perspectives in programming.

REDSO/ESA support of analysis of trade policy issues should ultimately improve the environment for trade and investment in the region, by reducing trade barriers and transportation and other transaction costs. Already, the public and private sectors are more aware of the value of cross-border, inter-African trade to economic development in the region. Now, stakeholders are following up on such issues as the fiscal and institutional implications of further trade liberalization, the impact of trade liberalization on neighboring countries, and the impact of import and export bans on agricultural commodities.

USAID/Kenya helped liberalize the grain markets in the country, which stimulated grain imports from Uganda, encouraging regional trade, improving Kenya's food security, and generating income for Ugandan farmers.

USAID/Tanzania is helping business associations improve links with regional trading partners. For example, it sponsored a Private Sector Foundation trip to visit counterparts in Uganda. The Mission also supports the Tanzania Chamber of Commerce. It has paid for computers and Internet connections for regional branches along the borders that are gathering cross-border marketing information, such as agricultural commodity prices, and sharing it with its members.

Support for regional transportation reform. REDSO/ESA also conducted a comparative analysis of inter and intra-country transport costs for cargo in northern tier countries (Eritrea, Ethiopia, Djibouti, Somalia, and Sudan). It showed that poor infrastructure and facilities along with limited capacity impedes food distribution from ports and surplus regions to food deficit areas, and distorts food prices in neighboring regions and countries. The Northern Tier Committee identified 20 reforms and recommendations that could reduce transportation costs significantly. The East African Transportation Initiative, which REDSO/ESA backs, lobbies for such reforms, including standardizing transit goods documentation, enforcing axle load limits, eliminating roadblocks, establishing common road engineering standards, and upgrading rail capacity. In Kenya, a Roads Board Authority allows private sector upgrading rail capacity.

The initiative brings together public and private sector transportation service providers and users. It promotes increased use of improved information technology. It is also working to privatize some operations at ports (storage facilities and handling equipment at berths), improve customs documentation to reduce the time it takes to clear cargo, and improve and privatize railway communications systems.

The process has led to increased interaction and collaboration between researchers, public sector officials, and the business community. Regional policy teams have been formed to discuss and take action on regional trade issues.

The East African Cooperation (EAC) and the World Bank sponsored a two-day regional road network meeting in Arusha in May. Presidents Daniel arap Moi of Kenya; Yoweri Museveni of Uganda; and Benjamin Mkapa of Tanzania attended the opening session. Discussions covered the importance of multi-modal transportation analysis, the role of maintenance and its financing, and the issue of corruption. A donor working group was formed to follow up on recommendations; REDSO/ESA will provide analytical support to implement recommendations. REDSO/ESA works closely with the EAC secretariat in implementing the reforms of the East African Transportation Initiative. IGAD and the Common Market for East and Southern Africa (COMESA) have also reached an agreement to increase collaboration in implementing similar reforms in the Greater Horn and southern regions.

IR 1.3: Food Needs of Targeted Populations Met through Enhanced Regional Capacities

In the last decade, donors have increasingly used food aid both to cover emergencies and to serve as a development tool. That trend has prompted debate over the long-term benefits and costs of traditional food aid. Governments in the region have

acknowledged the need for new approaches that encourage local production and marketing. Today, governments and nongovernmental organizations are putting more effort into strengthening communities' ability to cope with the stress of drought, and some activities in this area are being put into place in USAID programs in Eritrea, Ethiopia, and southern Sudan.

At the regional level, new food aid approaches, such as regional monetization, could increase local production and strengthen the private sector role in meeting food needs for targeted populations.

Information needs. To target food aid more effectively, a regional assessment of food insecurity, as well as more realistic estimates of food imports is needed. The U.S. Department of Agriculture is developing methodologies for long-term estimates of food imports, based on differential income distribution within countries. And the Intergovernmental Authority on Development is developing a food aid charter, with GHAI money and USAID technical assistance, that will detail responsibilities of donor and recipient countries in the region. The first step was a dialogue between IGAD, its seven member states, and the international donor community. The charter is a follow-up to the Rome World Food Summit and, if approved, will tie into the Global Food Aid Code.

Through funding to the Famine Early Warning System, GHAI has supported a study on food aid targeting in East Africa that makes recommendations for improvements, primarily in response to drought-induced, slow-onset food crises. The study is the first step in improving the impact of food aid on vulnerable groups, increasing its cost-effectiveness, and reducing its negative effects on development.

With USAID assistance, the Ethiopian government's Disaster Prevention and Preparedness Commission completed a series of vulnerability profiles considered a model by the Famine Early Warning System and other partners. The profiles identify the areas and population groups vulnerable to risks or hazards, the reasons they are vulnerable, and information for development planning. The government plans to continue developing vulnerability profiles for the most disaster-prone areas.

USAID/Rwanda is sending seeds and small animals to vulnerable groups and recent returnees through its Women in Transition program, which has provided 1,400 small grants to associations of vulnerable women. It also supplies seeds for transition projects supported by proceeds from its food monetization program. USAID's Office of Food for Peace also provides food to vulnerable groups. At the same time, the Mission is working with the ministries of Agriculture and Commerce on policy dialogue, expanding their ability to gather and analyze food security data, and increasing capacity to develop small-scale agricultural processing for subsistence farmers.

IR 1.4: Increased Private Sector Involvement in Enhancing Regional Food Security

According to recent analyses, the private sector, including both large- and small-scale investors, along with the region's small producers, can play a vital role in achieving

food security. However, because of mistrust, governments often ignore the views of the private sector in formulating economic policy. Recently, governments and donors are coming to recognize the need for a public-private sector partnership.

The private sector is looking for opportunities in the food sector, especially activities that will stimulate production. But it needs better information on trade and investment opportunities, and it must be represented in discussions on policy reform if it is to take a role in food security.

A role for microenterprise. One means of involving the private sector is to encourage microenterprise development and transfer lessons learned among countries in the region. USAID/Kenya, for example, has worked with the Kenya Rural Enterprise Program (K-REP), the leading microenterprise NGO in the country, to enhance income growth and food security by providing small loans to microentrepreneurs. Its development approaches are providing lessons to other countries in the region. K-REP hosts visitors from other Greater Horn countries to learn about their model and is serving as a consultant to help build capacity of an international organization that will establish a microfinance institution in Somalia. K-REP has also conducted several research studies for the Bank of Tanzania on creating an enabling environment for microfinance.

USAID/Tanzania launched two funds in 1998 to increase capital available to entrepreneurs. The funds provide loans to firms that are too small for bank or standard venture capital financing and too large for microcredit. The funds contributed half the capital disbursed and jobs created in this arena. Also in Tanzania, USAID helped set up a local for-profit center to promote regional investment and a non-profit investment program. Roughly a third of the investments made in each were in food security.

Investor road maps. Kenya was the latest in a series of countries to undergo a GHAI-funded assessment to advise governments on how to make their country more attractive to private investors. Investor road maps have in-country and regional objectives. For example, Kenya needs to cut red tape and legal and regulatory constraints.

In Tanzania, USAID ratcheted up the dialogue between the government and the private sector about next steps in legal and regulatory reform coming out of recommendations from its investor road map. For the first time, the government acknowledged the number of procedural obstacles investors face *and* that many could be addressed without a change in policy or legislation. A public service reform program outlines systemic change to make the government more responsive to customers and investors, including those recommended in the road map. Progress toward legal and regulatory reform is slow, however.

Ultimately, each country map will be part of a regional investor road map for COMESA, the Common Market for East and Southern Africa, and IGAD countries, identifying areas of integration and harmonization of policies and procedures related to investment.

I.R. 1.5: Enhanced African Capacity to Implement Household Level Nutrition and Other Child Survival Interventions

Childhood undernutrition has declined in all regions of the world except sub-Saharan Africa in the past 20 years. In the Greater Horn, the trend is the reverse: childhood undernutrition is now more prevalent than in the past. Nutrition links the components of food security—agriculture, health, and humanitarian assistance. Improving nutrition at the household level is, therefore, crucial to attaining the goal of food security.

To improve nutrition at the household level, institutional and individual capacity will have to be improved; nutrition and other child survival interventions will need to be better implemented; and food security policies and programs will need to be better coordinated.

Advocating for nutrition. The GHAI has played an advocacy role for nutrition, holding an all-country conference in Asmara, Eritrea, in March 1998 with 50 African partners. Participants reached consensus on priority health and nutrition topics linking food security to nutrition and developed an overall work plan. At the meeting, participants discussed the links between food security and nutrition in Eritrea, Ethiopia, Uganda, and the region as a whole.

That meeting confirmed three priorities for the GHAI, work on which began in 1998:

- improved maternal, infant, and child nutrition, particularly improving quality of program design and implementation
- improved use of information and advocacy to influence policies, strategies, and programs across sectors to improve nutrition
- improved maternal and child nutrition in refugee and emergency situations

Steps in this direction include fortifying food and improving food processing and storage. In 1998, the GHAI funded a study tour for Ugandans to visit Zambia to learn how to fortify sugar with vitamin A. Uganda is now planning to fortify its sugar with vitamin A, which has been found to reduce child mortality 20 percent to 50 percent and to help reduce blindness. A Kenyan manufacturer developed fortified weaning foods, following a GHAI-funded feasibility analysis and collaboration with the private sector on a social marketing initiative.

Minimum health packages. In Africa, health services increasingly are being integrated and decentralized. There is a trend toward adopting minimum health packages, which include the minimum necessary services and interventions. And, increasingly, communities are forming partnerships with nongovernmental organizations. These trends can play a vital role in promoting improved nutrition in the region.

For example, USAID/Tanzania and at least four other public or private sector organizations have adopted the Maternal Minimum Package. REDSO/ESA adapted the package for east Africa with three new components (anthelmintics to treat intestinal worms, presumptive malaria treatment during pregnancy, and child spacing) and renamed it Minpak+3.

The GHAI funded a survey of nutrition and health indicators in the Kigoma refugee camps in Tanzania to determine disparities in health services between the local population and refugees and recommend ways to address them. The survey found refugees received better health care and had more medicines available to them. In addition, international relief organizations often hire away local health providers. The government of Uganda, the United Nations High Commission on Refugees, and nongovernmental organizations will apply lessons learned from that survey in their ongoing efforts to minimize conflicts among refugees and indigenous groups and to integrate refugees and internally displaced persons in northern Uganda, linking relief and development.

Nutrition at the bilateral level. The USAID/Rwanda Mission backs two emergency health programs in the northwest for returnees, the displaced, and the newly resettled, with money from the U.S. Office for Foreign Disaster Assistance. It is also helping an NGO shift from service delivery to support for the health district, and conducting quality-assurance activities in health care delivery and cost recovery for services.

I.R. 1.6: Improved Collaboration in Management of Transnational Natural Resources

Resource management is the first step in increasing agricultural productivity. Variable rainfall and steep hillsides, compounded by population pressures, have led to soil erosion, land degradation, expansion of cultivation into marginal lands, loss of biodiversity, and deterioration of the resources necessary to food security in the Greater Horn. Shared problems, and in many cases, shared resources, such as rivers, lakes, and pasturelands crossing several countries, require regional management.

For example, USAID/Tanzania is leading a group that includes Kenya, Madagascar, Mozambique, and South Africa in developing a coastal resources management policy. It is also providing funds for an effort to develop and apply a national coastal management policy, the first to be adopted by any east African country. The Mission is assisting work on mariculture guidelines, a national monitoring system of ecosystem health, and public education.

A REDSO/ESA continuing grant of \$450,000 for 1999 through 2001 will cover a training needs assessment with stakeholders in the region as well as short courses and capacity building; help fund the Western Indian Ocean Marine Sciences Association, a regional coordinating, training, and monitoring organization; and provide technical assistance.

Battling rinderpest. In collaboration with USAID's Global Bureau, the GHAI provides funding for the Recombinant Rinderpest Vaccine project to combat the spread of rinderpest, a contagious disease that ulcerates the intestinal tracts of cattle. The project trains Greater Horn scientists to make and use an advanced, inexpensive diagnostic kit and a vaccine that doesn't require cold storage. The Agency also is equipping two regional labs, promoting both African ownership and a regional approach. Training at these labs began in September 1998 and African scientists are developing cadres of professionals in their

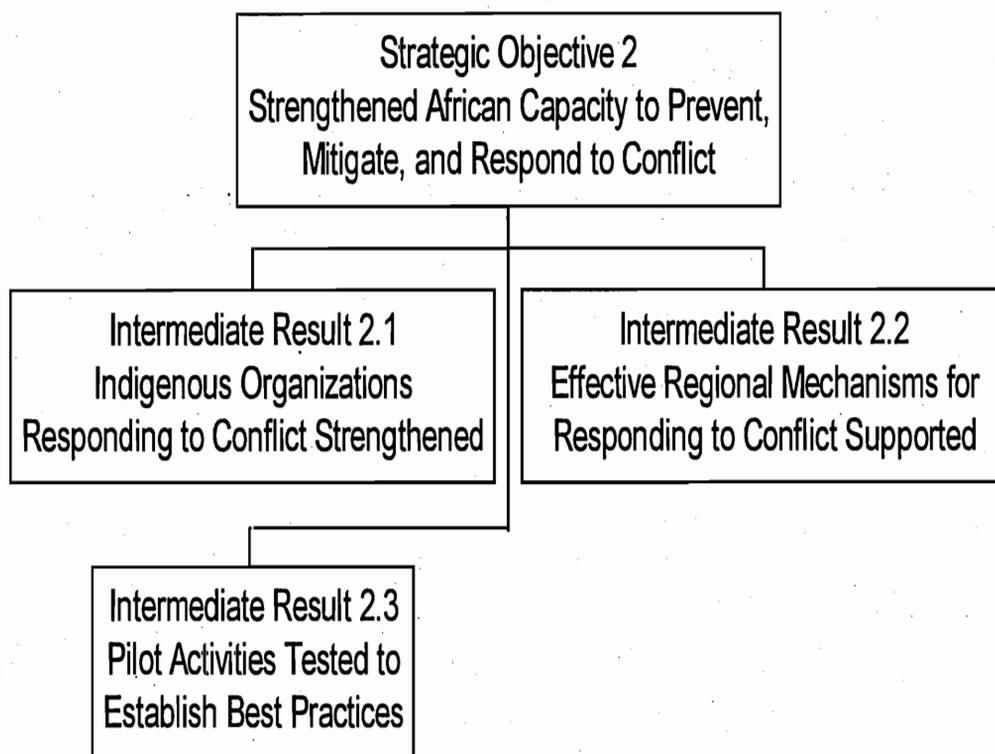
respective countries. The technology was developed at a U.S. university, with USAID funding.

In a partnership with U.S. and Tanzanian universities, U.S. private voluntary organizations and local nongovernmental organizations, USAID/Tanzania is emphasizing African ownership in community-based conservation activities and improving infrastructure in Tarangire and Lake Manyara. African Wildlife Federation of Kenya is using Tanzanian community-based conservation programs as models for participation and partnering. The Tanzanian Maasai Advancement Association has visited Kenyan community-based organizations to discuss conservation and other issues of mutual concern. These efforts will also improve biodiversity in Kenya, because the animals migrate between the two countries. Africare is doing community-based conservation, especially forestry management, in the Ugalla Game Reserve. These efforts will affect Burundi because it is part of the same migratory corridor.

The GHAI's effort to develop a regional approach to address the water hyacinth program in Lake Victoria is yet another example of the value of a regional perspective. Lack of regional consensus has hampered efforts to control the weed, but REDSO/ESA, USAID/Uganda, the U.S. Embassy in Nairobi, the government of Uganda's Water Hyacinth Unit, the Kenya Agricultural Research Institute, and other partners are developing consensus on an integrated regional management plan (mentioned earlier in this report).

Chapter 3. Facing conflict

Strategic Objective 2: Strengthened African Capacity to Prevent, Mitigate, and Respond to Conflict



Countries in the Greater Horn are experiencing complex economic, social, and political realities. Countries are trying different approaches to democratization and are making efforts to both manipulate and address ethnic and religious divisions. All countries face increased pressure on declining resources. Some are failed states, others are in transition. And each suffers from internal constraints. There are efforts, both national and regional, to address conflict and its causes, but the capacity to deal with the challenges is not yet sufficient.

There are two primary obstacles to effective prevention, mitigation, and response to conflict. Institutional capacity is insufficient for the people and governments of the region to guide the process. And the region's problems are of such a magnitude that regional and international efforts may not be enough. One of the objectives of the Greater Horn of Africa Initiative is not to prevent, mitigate, or respond to every conflict that arises, but to

nurture the ability of the region and of its international partners to respond, and, if possible, wrest positive change from conflict.

Because this is a new area for USAID, the GHAI supports fewer activities than for the first strategic objective. The Agency has spent time laying the groundwork for implementation in this strategic objective. It also expects to go through a learning process, of experimentation, testing, and replication of best practices in partnership with regional and other partners. Normally, to be eligible for GHAI funding, a proposed activity must be regional. In this strategic objective, however, because experimentation and innovation are a priority and because USAID is relatively new to the conflict sector, GHAI will fund activities in a single country. However, such activities should be able to be replicated or provide lessons applicable to other countries.

IR 2.1: Indigenous Organizations Responding to Conflict Strengthened

Although there is considerable capacity in the region to analyze conflict, the capacity to use that analysis in decision-making, including at the regional level, is weak. Indigenous organizations addressing conflict need better management and advocacy skills, increased capacity to analyze and share information, and enhanced legitimacy.

REDSO/ESA is giving funds to the Intergovernmental Authority on Development (IGAD), the Common Market for East and Southern Africa (COMESA), and the African Dialogue Center to bring government and civil society groups together to prevent, mitigate, or respond to internal and cross-border conflicts.

IGAD. USAID is one of several donors to contribute to IGAD's Peace Fund, to enable IGAD and envoys from member states (Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan, and Uganda) to intervene quickly when opportunities arise to resolve or prevent conflicts in the region. IGAD's work in this area marks a shift: issues once considered internal affairs of state are now seen as regional concerns.

In 1998, IGAD used the fund to reinvigorate the Sudan peace process with two ministerial meetings and several shuttle diplomacy missions. As a result of the meetings both parties continued their commitment to a common Declaration of Principles for the peace process; agreed on the rights of self-determination for southern Sudan, and on holding a national referendum on the issue; and made progress toward defining the boundaries of southern Sudan.

REDSO/ESA also worked to strengthen IGAD's secretariat, which is now authorized to contract directly with USAID for goods and services in its conflict prevention, mitigation, and response activities. REDSO/ESA provides ongoing assistance for IGAD to develop and implement two conflict prevention projects: capacity building in conflict prevention, mitigation, and response; and alleviation and mitigation of humanitarian crises.

COMESA. REDSO/ESA signed a groundbreaking agreement with the Common Market for East and Southern Africa in conflict management in 1998. This helps put conflict

management on COMESA's agenda. The Mission is also funding several COMESA activities, including modernizing its Court of Justice to improve its capacity for mediation and arbitration of commercial disputes.

African Dialogue Center. In September 1998, the African Dialogue Center held a networking meeting of 35 regional groups involved in conflict prevention, management, and resolution, which laid the groundwork for establishing a formal network. Scholars and NGO representatives from 28 countries received training in conflict prevention and management there.

With a Price Waterhouse representative, REDSO/ESA trained African Dialogue Center staff on USAID policies and procedures and reviewed Price-Waterhouse draft procedural manuals. The regional Mission is also offering technical support for the center to develop realistic objectives and a work plan for 1999.

Grantmaking program launched. PACT, a U.S. private voluntary organization, is managing GHAI's Institutional Strengthening and Grantmaking Program, with offices in Nairobi. It will offer grants for innovative regional activities addressing the causes of food security and conflict, while strengthening nongovernmental organizations in areas such as administration and financial management. A five-year, \$10 million program, it will provide small grants and technical assistance to several NGOs in 1999. It will also promote collaboration of African governments, donors, and NGOs in the region.

IR 2.2: Effective Regional Mechanisms for Responding to Conflict Supported

All countries in the Greater Horn of Africa can be considered transition countries—some are transitioning out of crisis, others are in the midst of crisis. Still others are on a precipice and could easily fall into crisis or move toward greater stability. Ethiopia and Eritrea were both moving along the slow but hopeful path of stability until violent conflict broke out on their common border in 1998. Kenya, with its faltering economy and periodic inter-group violence, could descend into crisis. Rwanda, by contrast, is gradually but steadily moving away from the horror of the 1994 genocide and progressing with its transition. In each case, the conflict has or would have regional implications and effects. For that reason, there is a need for regional bodies equipped to respond effectively to the rapidly changing face of conflict.

Another issue common to the region is refugees and the attendant problems. An estimated 10 million refugees, internally displaced persons, and recent returnees in the region are both a result and a cause of conflict. These groups create internal and cross-border tensions, disrupt economies, destroy local and national infrastructure, and cause serious environmental damage. The donor community spends millions of dollars a year to help, and has yet to effectively link conflict response to long-term solutions.

Many political and security issues need to be sorted out, but there is a core of African leadership, including some members of IGAD, committed to finding lasting solutions. And there are two tools: a joint IGAD-United Nations High Commissioner for

Refugees project and the declaration at the 1992 Summit on Regional Humanitarian Issues, which calls for a regional framework to address refugee issues.

IGAD, with USAID and other donor funding, will assess conflict prevention, mitigation, and response and develop a conflict early warning response system. The difficulties in developing a successful system are considerable. At a donor meeting in Addis Ababa in June 1998, not one of 20 donors had advance indications that an Eritrea-Ethiopia border conflict would break out in the spring.

USAID/Tanzania held a regional workshop for other countries in the region to demonstrate how Tanzania handles alternative dispute resolution and how, through caseload management, the country has improved court efficiency and effectiveness.

IR 2.3: Pilot Activities Tested to Establish Best Practices

USAID determined that it can be most responsive in this new field by establishing a fund to finance promising pilot activities. There are many new organizations proposing innovative ideas and untested methodologies to deal with conflict. Promising areas include broadcast media, use of the Internet in conflict management, community-based peace-building, and activities aimed at preventing and mitigating conflict over land, water, and forest resources.

Two new conflict funds. In collaboration with COMESA and regional USAID bilateral Missions, REDSO/ESA established two innovative conflict funds in September 1998, one for quick response (CQUIK) to existing or emerging conflicts; another for pilot activities (Conflict Pilot Activities Fund) to address longer term conflict work.

Promoting peace in Burundi. GHAI provided some funding for the Burundi peace talks, held in Arusha, Tanzania. USAID also funds a radio studio in Burundi that the private voluntary organization Search for Common Ground uses to produce programs promoting peace that reach 5 million Kirundi speakers in Burundi, Rwanda, and eastern Democratic Republic of Congo. The PVO also provides technical assistance for political dialogue among national leaders and is developing a Women's Peace Center to provide an opportunity for Tutsi and Hutu women leaders to work together on Burundi's social and political problems.

Sudan's STAR project. Perhaps the most complex area USAID operates in is southern Sudan. The GHAI response to the conflict and emergent needs there is one of the most challenging issues it faces. A major transition is possible there, and USAID has been authorized to implement interagency support for local governance and democratization. REDSO/ESA designed and initiated the three-year, \$7 million Development Assistance-funded Sudan Transitional Assistance for Rehabilitation (STAR) project to increase participatory democracy and good governance in opposition-held areas of Sudan while reducing reliance on relief.

Kenyan NGOs. With co-funding from the GHAI, the Kenya Mission gave a grant to the Education Center for Women in Development, which is working on conflict resolution and

prevention in the Rift Valley, scene of ethnic clashes in 1992-97. In 1998, the group trained 102 peace activists, including elders, youths, and clergy. Several later testified before the Judicial Commission of Inquiry on clashes. Participants are increasingly providing early warnings of potential conflicts.

Kenya Pastoralist Forum, another USAID partner that receives funding from USAID/Kenya and the GHAI, is providing civic education for human rights and constitutional reform in northeastern Kenya, aimed at mitigating conflicts among pastoralists and between them and the state. The forum is teaching pastoralists about their rights, in an effort to bring them to participate in the imminent constitutional reform process. The long-term objective is to give these Kenyans the legal and constitutional means of making legitimate demands on the state, rather than resorting to force. One example of its success is the December 1998 meetings of Turkana, Karamajongs (on both sides of the Kenya-Uganda border), and representatives of the Kenyan government. Participants agreed on methods for dispute resolution, including modes of paying penalties.

USAID/Kenya is involved in numerous conflict prevention, mitigation, and response activities, including strengthening Kenyan nongovernmental organizations working in the area. The Mission is training trainers and mediators to be deployed in conflict situations and helping groups form coalitions and networks. To monitor progress in this area, it is using a watchdog index to rate the ability of civil service organizations to mount early warnings, form coalitions, train grassroots groups, and investigate conflicts.

USAID/Kenya and the GHAI co-funded three civil society groups in 1998, but the field is advancing on other fronts as well. For example, the number of USAID/Kenya's partners involved in conflict work doubled to 22 in 1998 (35 percent in peace and reconciliation; 35 percent in capacity building; 18 percent on land disputes). One of its partners is Peace-Net, a national umbrella of more than 40 NGOs that provide relief to victims of ethnic conflict. The efforts of Peace-Net and the Education Center for Women in Development have helped the Kikuyu and their adversaries, the Kalenjin, reach a sustained level of peaceful coexistence.

USAID-funded think-tanks helped civil society organizations be more effective watchdogs and respond more effectively to ill-informed policies or government actions. For example, USAID/Kenya reported that, in response to government-sponsored ethnic clashes in early 1998, civil society organizations, together with religious groups and the opposition party, uncovered government preparations for the clashes and informed the public through the media of areas of potential violence.

The media in Tanzania. USAID/Tanzania helped improve the capacity of local media to open discussion on potentially disruptive issues. For example, it provided short-term local training to the media and encouraged them to become more vocal and engage in less self-censorship. The media reported on two potential issues of conflict: a large prawn farming operation in the Rufiji Delta that has a number of environmental and economic ramifications, and a new land bill.

Looking ahead. In the coming year, activities supporting the GHAI's conflict prevention, mitigation, and response objective include the following:

Pilot activities using the two new conflict funds will begin in Ethiopia, Kenya, Sudan, Tanzania, and Uganda.

REDSO/ESA, U.S. Embassy staff and USAID/Tanzania will conclude a conflict flashpoints study for Tanzania. The study will identify potential sources of conflict and make recommendations for USAID, other donors, the Tanzanian government, and civil society in conflict mitigation, prevention, and response. It will be a powerful programming tool for USAID/Tanzania, a lens through which the Mission can view new and current programs and assess the effect of activities on sources of conflict.

REDSO/ESA expects to set up an evaluation, analysis, and dissemination program in the region to evaluate ongoing conflict mitigation, prevention, and response activities, and to identify and disseminate best practices and lessons learned. It will also support replication.

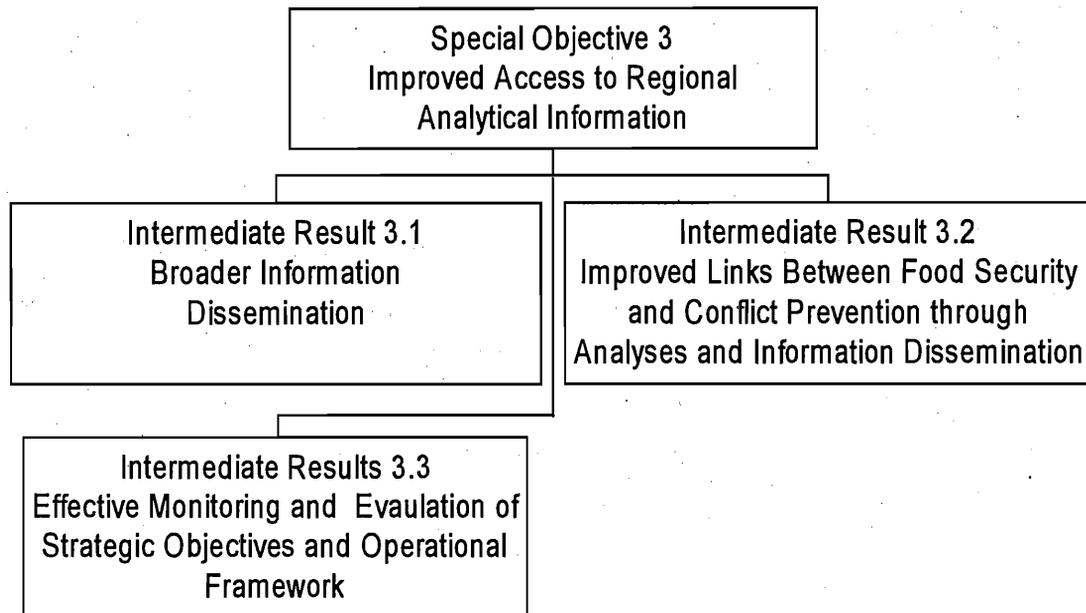
REDSO/ESA, USAID/Ethiopia, USAID/Kenya, and USAID/Somalia will work with governmental and nongovernmental partners on ways to address the food security and conflict management needs of pastoralist groups in the border areas of these countries. These areas are among the least developed in each country and the food insecurity fuels conflict between and among groups living in these areas. This effort will be one of the first funded by GHAI that captures the synergies between food security and conflict .

USAID/Ethiopia's Integrated Strategic Plan, being prepared in 1999, will identify activities that link relief and development and help prevent and manage conflict.

If the parties can agree to a framework for peace, GHAI will contribute to a multi-donor border demarcation exercise along the disputed area between Ethiopia and Eritrea. This will be an important step in securing lasting peace in these two countries.

Chapter 4. Sharing Information

Special Objective 3: Improved Access to Regional Analytical Information



The intent of this special objective is to develop a coherent, wide-ranging base of information for assessing regional interests and the impact of various activities on peace and food security in the region. A glaring lack of regional data and analyses impedes formulation of regional policies. As a result, regional factors are often given insufficient weight and regional approaches are too often made up of an amalgamation of national analyses. In addition, food security and crisis prevention need to be examined holistically, as they relate to economic, political, and social development, and environmental sustainability.

This objective is, therefore, the vehicle for identifying and addressing information gaps and links between the strategic objectives. It is designed to augment the analysis, information-sharing, and capacity-strengthening activities of the other strategic objectives.

Finally, the innovative nature of the Greater Horn of Africa Initiative demands impact assessments, monitoring, and evaluation to measure results and adjust implementation during its five-year life span. This objective will be the mechanism USAID uses to measure progress toward achievement of the operating principles and strategic objectives.

REDSO/ESA is developing a new strategic framework, while operating under an older strategy that does not fully incorporate the Greater Horn of Africa Initiative. Tasks for the coming year will be to develop an integrated, GHAI-focused Mission strategy and GHAI performance indicators, in consultation with bilateral Missions and partners, to chart progress and communicate the results of the initiative.

Intermediate Result 3.1: Broader Information Dissemination on GHAI

The aim of this Intermediate Result is to improve the access governments, the private sector, civil society, private citizen groups, nongovernmental organizations, and donors have to regional information.

On the Net. REDSO/ESA worked with IGAD and non-IGAD countries to establish Internet connections for policy makers in the region and train them in using the Internet. Thirty-six government ministries in Djibouti, Eritrea, Ethiopia, Kenya, Rwanda, and Uganda are communicating and sharing information on food security and conflict prevention on the Internet. A Global Bureau grant managed by REDSO/ESA covers the cost of connecting the government ministries in the region electronically, including equipment purchase.

IGAD is receiving \$400,000 to build on accomplishments of that grant by link IGAD's Secretariat in Djibouti with principal ministries in other states, connecting more government ministries in the region. The money will be used to replace equipment that is not Y2K compliant. IGAD has a local area network and set up its first web site within a month.

IGAD's regional integrated information system (IGAD Project 5.1), jointly funded by the GHAI and the Italian government, began its design phase in 1998. IGAD selected the U.S. Geological Survey as the key design partner, which has placed a full-time technical adviser in Djibouti for 18 months.

Initially, the system is assessing user needs for regional information and analysis in food security early warning systems and natural resources management. The system will build on existing data sources to provide policy makers with information on food security and conflict prevention, disaster, and environmental and natural resource management.

Together with IGAD, USAID/Tanzania, and USAID/Rwanda, REDSO/ESA plans to increase Internet connectivity, adding more government ministries, as well as the African nongovernmental sector (including universities, voluntary organizations, and other NGOs). USAID/Rwanda, through the Leland Initiative, has negotiated an agreement to jump-start Internet use by Rwanda's tertiary education institutions—the National University of Rwanda, Kigali Institute of Science and Technology, and Kigali Institute of Education. This effort will help Tanzania and Rwanda, which are Greater Horn countries, keep pace with its IGAD neighbors.

A REDSO/ESA team has also been working with USAID's Leland Initiative to boost education sector use of information and communications technologies in Kenya and

Rwanda. The team has designed and is maintaining two web sites, one for USAID/Rwanda, and one for REDSO/ESA, which features GHAI-related activities.

In 1999, will negotiate of a memorandum of understanding between the governments of the United States and Kenya to begin activities there. The team will also organize regional planning sessions and activities to promote harmonized telecommunications equipment, policies, and tariffs, with \$250,000 in GHAI funding. It will also work with the Center for Naval Analysis to review REDSO/ESA's information systems and business practices and make recommendations on alternatives to enhance internal and external information systems operations.

Boosting information use. The GHAI regional trade activity emphasizes dissemination, implementation, and utilization of analysis to influence policy reforms on transportation costs, comparative advantage, and cross-border trade, the three areas assessed to be crucial to increasing trade and improving food security.

Telecommunications. With USAID Global Bureau assistance, REDSO/ESA pressed the government of Kenya to liberalize and privatize its telecommunications sector, leading to a major rewrite of the Kenya Telecommunications bill, passed in October 1998. REDSO/ESA has also funded consultations on privatization in telecommunications policy in Eritrea, Ethiopia, and Kenya.

IR 3.2: Improved links between food security and conflict prevention through analyses and information dissemination.

Activities in this area augment those of strategic objectives 1 and 2 by addressing research and analysis that link the two. Broad dissemination of this kind of information will help promote a more holistic regional view of food security and crisis prevention. In 1998, USAID set up "Preventing and Mitigating Violent Conflicts: A Revised Guide for Practitioners," online, with a web site, <http://www.caii-dc.com/ghai>

IR 3.3: Effective monitoring and evaluation of strategic objectives and operational framework

Until REDSO/ESA develops a strategic framework that incorporates the Greater Horn of Africa Initiative, it cannot put together a performance and monitoring plan. Once that happens, however, plans are to monitor the two strategic objectives and the operational framework continuously, and to conduct an overall evaluation of the initiative at the end of its third year, late 2000. REDSO/ESA is committed to strengthening African capacity and African ownership and will seek, therefore, African participation in monitoring and evaluating the GHAI.

Conclusion

Enacting the Greater Horn of African Initiative is a learning process. The Agency is learning to do business differently, to form genuine partnerships with African organizations, to promote a regional perspective, to coordinate strategies, to link relief and development, and to find new ways to promote stability. It is also learning the appropriate role for a donor when its commitment is to strengthening African capacity.

This past year was critical in laying the groundwork for the initiative. Among the highlights are the Agency's new relationship with the 21-country Common Market for East and Southern Africa (COMESA) and its new Institutional Strengthening and Grantmaking Program. The Agency signed two ground-breaking regional partnership agreements with COMESA. The agreements establish two conflict-response funds and support a regional commercial court of justice. Both agreements will help strengthen the capacity of regional organizations to undertake more effective work in food security and conflict prevention, mitigation, and response in the Greater Horn region.

The GHAI's \$10 million regional grant-making facility is gearing up to help African nongovernmental organizations that work in regional conflict prevention and food security. The program will support innovative projects to strengthen the capacity of nongovernmental institutions and respond to conflict. PACT, a U.S. private voluntary organization, opened offices in Nairobi to manage the program, which plans to award its first round of grants in mid-1999. These and other efforts should begin to bear fruit in the coming year.

At the same time, work critical to the success of the initiative is continuing. This includes work with IGAD, the Intergovernmental Authority on Development, both in terms of project support and institutional strengthening. Investor roadmaps will be completed for more countries, leading eventually to a regional investor roadmap that will allow countries to coordinate activities that promote investment. Djibouti is next on the list. Efforts to increase Internet connectivity continue, as well. Such activities take a regional perspective, support strategic coordination, and strengthen African organizations' capacity to respond to the region's needs.

The Agency faces several tasks in 1999 that are critical to the success of the initiative. It must develop a monitoring and evaluation plan, contribute to the integrated strategic plans bilateral Missions in the region are developing, and document lessons learned in applying the GHAI principles.

The Agency is finding its way, forging a path in an era of change, rife with risk and opportunity. In the coming four years, the challenge will be to find the opportunities amidst the challenges and to continue strengthening regional capacity to deal with issues as they arise and look for regional solutions.